



Lyon & Lyon LLP  
Docket Information  
252/029

#3

**UTILITY DECLARATION  
AND POWER OF ATTORNEY  
Utility Application**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first, and joint inventor, together with **James M. Lipton**, of the subject matter which is claimed and for which a patent is sought on the invention entitled **ANTIMICROBIAL AND ANTI-INFLAMMATORY PEPTIDES FOR USE IN HUMAN IMMUNODEFICIENCY VIRUS** the specification of which

(Check One) ☐ is attached hereto OR  
☒ was filed on 3/23/2000 as United States Application Serial No. 09/533,341

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date
60/126,233	3/24/1999

POWER OF ATTORNEY: As a named inventor, I hereby appoint as my attorneys and/or agents, with full power of substitution and revocation, to prosecute this application and transact all business in the United States Patent and Trademark Office, and in countries other than the United States, and to do all things necessary or appropriate therefor before any competent International Authorities in connection with any international patent application(s) corresponding to the above-identified invention application, all of the registered practitioners identified by Customer Number 22249:




**22249**

PATENT TRADEMARK OFFICE

LYON & LYON LLP  
Suite 4700  
633 W. Fifth Street  
Los Angeles, CA 90071  
(213) 489-1600

Please send all correspondence and direct all telephone calls to the attention of Michael J. Wise at Lyon & Lyon, LLP.

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name <b>Anna</b>	MIDDLE Initial <b>P.</b>	LAST Name <b>Catania</b>	
	RESIDENCE & CITIZENSHIP	City Milan	State or Foreign Country Italy		Country of Citizenship Italy
	POST OFFICE ADDRESS	15 Corso Italia	City Milan	State or Country Italy	Zip Code 20122
INVENTOR'S SIGNATURE 			DATE <b>28-07-00</b>		



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<b>201</b>	FULL NAME OF INVENTOR	FIRST Name <b>James</b>	MIDDLE Initial <b>M.</b>	LAST Name <b>Lipt n</b>	
	RESIDENCE & CITIZENSHIP	City Woodland Hills	State or Foreign Country CA		Country of Citizenship USA
	POST OFFICE ADDRESS	5800 Owensmouth St.#10	City Woodland Hills	Stat or Country CA	Zip Code 91367
INVENTOR'S SIGNATURE <u>James M. Lipton</u> DATE <u>July 27, 2000</u>					

#4

Applicant or Patentee: James M. Lipton; Anna P. Catania

Serial or Patent No. : 09/533,341

Filed or Issued: March 23, 2000

For: ANTIMICROBIAL AND ANTI-INFLAMMATORY PEPTIDES FOR USE IN HUMAN IMMUNODEFICIENCY VIRUS



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) AND 1.27(c)) – SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
- ☒ an official of the small business concern empowered to act on behalf of the concern identified below:

business concern name and address: Zengen, Inc. .

21800 Oxnard St. Suite 980, Woodland Hills, CA 91367

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-part or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the inventions, entitled

ANTIMICROBIAL AND ANTI-INFLAMMATORY PEPTIDES FOR USE IN HUMAN IMMUNODEFICIENCY VIRUS

by inventor(s) James M. Lipton; Anna P. Catania

described in ☒ the application serial no. 09/533,341, filed March 23, 2000.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME Zengen, Inc.

ADDRESS 21800 Oxnard St. Suite 980, Woodland Hills, CA 91367

☐ Individual

☒ Small Business Concern

☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b)).

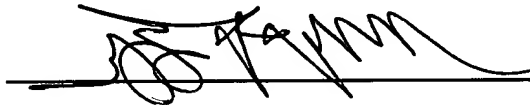
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Johnson Liu

TITLE OF PERSON SIGNING Chief Executive Officer and Chairman of the Board

ADDRESS OF PERSON SIGNING 21800 Oxnard St. Suite 980, Woodland Hills, CA 91367

SIGNATURE



DATE

